

01-12-01

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January 11, 2001

Attorney Docket No.: 09857-054001

**Box Patent Application**  
Commissioner for Patents  
Washington, DC 20231

Presented for filing is a new original patent application of:

Applicant: Steven M. Bloom, Michael Spector and John Jacobson

Title: ARBITRAGE OF TRACKING SECURITIES

Enclosed are the following papers, including those required to receive a filing date under 37 CFR §1.53(b):

	<u>Pages</u>
Specification	13
Claims	5
Abstract	1
Declaration	[To be Filed at a Later Date]
Drawing(s)	3

Enclosures:

- Postcard
- Information Disclosure Statement, PTO 1449 Form, 1 page, 3 refs.

Basic filing fee	\$710
Total claims in excess of 20 times \$18	\$54
Independent claims in excess of 3 times \$80	\$160
Fee for multiple dependent claims	\$0
Total filing fee:	\$924

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Label No. EL224699049

I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit January 11, 2001

Signature Samantha Bell

Typed or Printed Name of Person Signing Certificate Samantha Bell



Frederick P. Fish  
1855-1930

W.K. Richardson  
1859-1951

BOSTON

DALLAS

DELAWARE

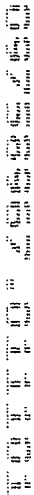
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Under 37 CFR §1.53(f), no filing fee is being paid at this time.

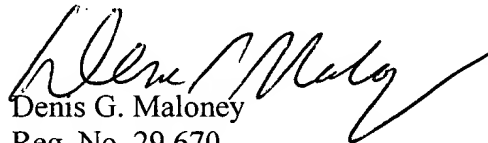
If this application is found to be incomplete, or if a telephone conference would otherwise be helpful, please call the undersigned at (617) 542-5070.

Kindly acknowledge receipt of this application by returning the enclosed postcard.

Please send all correspondence to:

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Respectfully submitted,

  
Denis G. Maloney

Reg. No. 29,670

Enclosures

DGM/mgc

20193204.doc

APPLICATION  
FOR  
UNITED STATES LETTERS PATENT

TITLE: ARBITRAGE OF TRACKING SECURITIES

APPLICANT: STEVEN M. BLOOM, MICHAEL SPECTOR AND JOHN JACOBSON

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